

CALIFORNIA HISTORICAL RESOURCES INFORMATION SYSTEM

INFORMATION CENTER PROCEDURAL MANUAL

November 20, 1995

Office of Historic Preservation

Department of Parks and Recreation

Resources Agency

State of California

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INTRODUCTION

The California Office of Historic Preservation (OHP) is entrusted under State and Federal law for the maintenance of an inventory of Historical Resources: the California Historical Resources Information System. It does this, in part, through contracts with eleven independent Information Centers (ICs). This manual has been developed by OHP for the guidance of the ICs in their daily business and to assist clients in their use of the Centers.

The manual has been developed over the last decade through intensive interaction between the National Park Service (NPS), OHP, the ICs, and the larger community of archeologists, historians, architectural historians, planners, governmental agencies and developers all of whom the ICs serve. Over the last year and a half, the Information Center Procedural Advisory Committee, a committee of the State Historical Resources Commission, has guided the changes in this manual which have been dictated by the inclusion of historic properties in the ICs.

This Manual was adopted by the State Historical Resources Commission at their August 11th, 1995 meeting with the stipulation that OHP continue to refine the manual and return to the Commission in a year with such changes, if any, as are warranted for the Commission's consideration. Many aspects of these procedures are viewed as temporary or transitional due to the integration of the Historic Resource records and the impact of electronic information management on this system.

We are requesting users of the ICs to continue to comment on this manual.

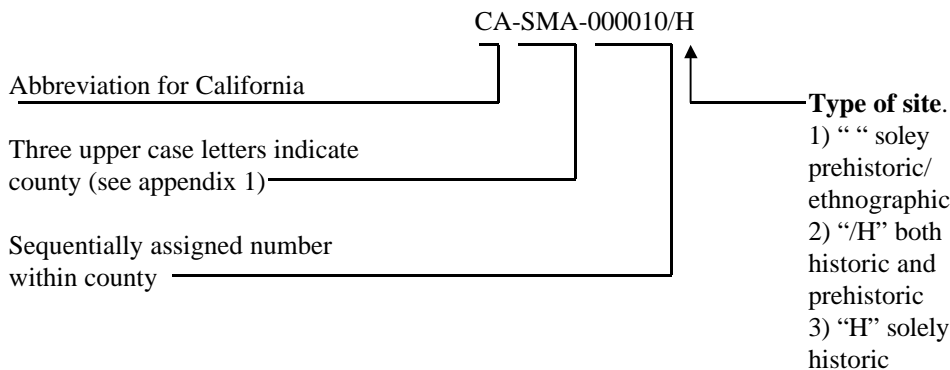
All comments should be sent to:

Information Center Procedural Advisory Committee
c/o William C. Seidel or Jan Wooley, Coordinators
California Historical Resources Information System
Office of Historic Preservation
P.O. Box 942896
Sacramento, CA 94296-0001

DEFINITIONS

- A. The term "**OHP**" as used herein shall mean the State Historic Preservation Officer or his or her representative.
- B. The term "**California Historical Resources Information System**" (CHRIS) as used herein shall mean that collection of Site Records and Historic Resources Inventory Forms, and all information on resources submitted which has been acquired and managed by the OHP since 1975. This inventory includes the Historic Resources Inventory, California Archeological Site Inventory, California properties listed in the National Register of Historic Places, California Registered Historical Landmarks, California Points of Historical Interest and the California Register of Historical Resources.
- C. The term "**Participant**" is used to indicate the institution which is legally responsible for the actions of the Coordinator and staff of an IC.
- D. The term "**Coordinator**" as used herein shall mean the individual with primary responsibility for carrying out the program specified in this manual. The Coordinator must meet the Secretary of the Interiors' Standards as an archaeologist, historian or architectural historian.

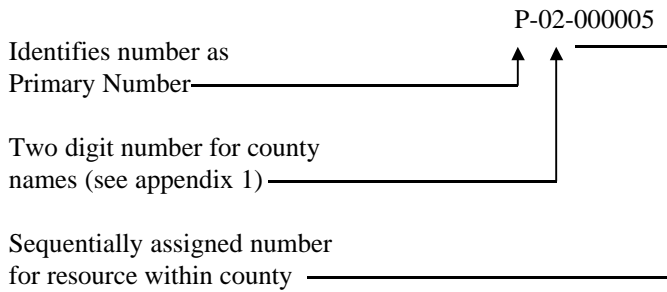
- E. The term "**Region**" as used herein means those counties which have been specified by OHP as constituting the area of responsibility for the individual Information Center Coordinator.
- F. The term "**Information Center**" as used herein means the location of the historical resource records, maps, and reports for the counties constituting the Region.
- G. The term "**Historical Resource**" as used herein shall include all manner of properties: buildings, structures, sites, objects and districts.
- H. The term "**Site Record**" as used herein shall mean a hard-copy document which describes the characteristics and location of a site and which has been completed for entry in the California Archeological Site Inventory (DPR 422 form is one example of a Site Record).
- I. The term "**Historic Resources Inventory Form**" as used herein shall mean a hard-copy document which describes the characteristics and location of buildings, structures, objects and districts recorded for inclusion in the Historic Resources Inventory (HRI). (This form is also known as the DPR 523.)
- J. The term "**California Archeological Site Inventory**" as used herein shall mean that collection of Site Records which has been acquired and managed by the ICs and the OHP since 1975. This inventory consists of all Site Records which have been assigned an official State Trinomial Number.
- K. The term "**State Trinomial Number**" refers to the numbering system utilized by OHP in accessioning records into the California Archeological Site Inventory. The system utilizes the following format:



The above example is the tenth site recorded in San Mateo County and has both a prehistoric and historic component.

- L. The term "**Historic Resources Inventory**" as used herein shall mean that collection of HRI forms which has been acquired and managed by the OHP since 1975. This inventory consists of all forms which have been assigned an official HRI Number. A HRI Number designates an identification/evaluation for a resource. These forms have come into the OHP from a variety of programs.
- M. The term "**Historic Resources Inventory Number**" refers to the numbering system utilized by the OHP in accessioning records into the state-wide HRI. This number currently utilizes a variety of formats depending on the federal program from which the recordation originated. Please refer to Numbering Conventions for Historical Resources.(See Appendix 2)

- N. The term "**Primary Number**" refers to the numbering system utilized by the Coordinators in accessioning all records into the CHRIS. The Primary Number designates a location of a resource as does a Site Trinomial Number. The system utilizes the following format:



The above example is the fifth resource to be assigned a Primary Number in Alpine County.

PROJECT DEFINITION

Coordinator shall acquire, maintain, update and disseminate a complete set of records and reports dealing with the full range of Historical Resources for their Region in accordance with the following organization.

Coordinator shall organize and maintain the following files. Unless otherwise specified, these are hard copy files.

A. Resource Files:

1. **Archeological Inventory Files:** Coordinator shall maintain the three sets of Site Records:
 - a. **Pending File:** Copies of Site Records which do not contain sufficient information to be included in CHRIS. These shall include Site Records deleted from the Site Inventory and copies of Site Records which have been returned for additional information. Organization of this file will be at the discretion of the Coordinator.
 - b. **Isolate File:** Include isolate recordings submitted to the Coordinator and those which the Coordinator has deleted from the Site Inventory. Organization of this file will be at the discretion of the Coordinator (This file may be merged into the "Primary File" mentioned below by assigning the isolates Primary Numbers).
 - c. **Site Inventory:** Consists of archeological site records which contain information sufficient to meet the "Policy Governing the Assignment of Trinomials" (See Appendix 3), and all Site Records for sites which have been assigned official State Trinomial Numbers. The Site Inventory shall be organized by county and sequential number.
2. **Historic Resource Inventory Files (HRI File):** Participant shall maintain a set of records for the Historic Resources:
 - a. It shall include records (i.e., DPR 523 forms) provided by OHP from the HRI. The HRI File will be organized first by county and then numerically by HRI Number within that county (See Appendix 2). This ordering will result in the forms being filed by program and individual survey. These programs include the National Register of Historic Places, National Historic Landmarks, California Register of Historical Resources, California Registered Historical Landmarks, California Points of Historical Interest, Determinations of Eligibility, and Historic Surveys. The corresponding Survey Report should be filed with its related forms.
3. **Primary File:** Consists of records which contain at least the information required of a Primary Record or have been included in other inventories or registration programs maintained by the OHP. It shall be referred to as the "Primary File" and shall be ordered by Primary Number (i.e. by county and sequential number). This file may contain all previous records (including Isolate Records) which have been assigned a Primary Number. The Archeological Site Inventory may or may not be subsumed into this file at the discretion of the Coordinator. The HRI will always remain discreet and separate from this file.

- B. **Historic Properties Directory:** The OHP will disseminate a Historic Properties Directory to each Coordinator on a quarterly basis. This directory will include all properties entered into the electronic Historic Properties File at the OHP and shall be ordered by county, city and street address. The Coordinator shall maintain and make this directory available to all members of the public and may use this as the primary or locational index for the HRI Files.

- C. **Map File:** Consists of USGS maps covering the Region. These maps shall be 1:24,000 scale unless this scale is unavailable, when 1:62,500 scale maps shall be used. These maps will contain the plottings of archeological sites, the resources included in the Primary File, and plottings of areas covered in survey reports. These three types of plottings may be maintained on a single set of maps. A Coordinator may map and maintain the HRI forms on maps of appropriate type and scale.

At least two considerations should guide the mapping of Historic Resources:

1. All rural properties should be mapped on USGS maps since addresses are not reasonably accurate designators of location.
2. If urban properties are mapped, a parcel map might be the most appropriate depending upon the relationship of the Participant to the government of that city.

Individual maps shall be replaced as necessary, with the old maps being retained for future archival work. Newly issued USGS maps shall be added to the file as they become available.

- D. **Report File:** Coordinator shall acquire and maintain a complete set of reports pertinent to the Historical Resources for the region. Coordinator shall determine the organization of this file. Historic Resources Survey Reports received from the OHP shall be maintained with the associated HRI forms in the HRI File.
- E. **Computer File:** Coordinator shall enter and maintain the Archeological Site data in the computer file created for the project area in accordance with the "Encoding Manual for the California Archeological Site Inventory." The OHP shall enter and maintain the electronic Historical Resource Data File for all properties submitted to it, including those submitted by the Coordinators. Coordinators may develop GIS in accordance with guidelines and standards developed, or agreed upon, by the OHP.
- F. **Bibliography:** Coordinator shall maintain a comprehensive Bibliography of all reports constituting the Report File and those maintained in the HRI File.
- G. **Referral List:** Participant shall develop and maintain a Referral List of professionals in the fields and disciplines enumerated by the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*. This list shall be composed of all individuals who have requested to be listed and who have demonstrated that they meet the Secretary of the Interior's Standards for those disciplines for which they request listing (See Appendix 4). It shall also consist of those individuals who were included on each Information Center's list as of August 11, 1995.
1. **Request for listing:** Individuals may request listing by submitting a completed "Referral List Request Form" to the appropriate Information Center(s) (See Appendix 5).
 2. **Request Review and Acceptance:** The Coordinator will review the "**Referral List Request Form**" at the most basic level to determine if the individual meets the requirements for the discipline for which listing was requested. If there is a discrepancy between the information on the form and the requirements, the Coordinator shall request clarification. If the individual cannot resolve that discrepancy, the Coordinator will notify them that their request has been forwarded to the OHP for a final decision. The OHP shall then make this decision. Should the NPS make a finding concerning the qualifications of an individual, that finding shall take precedence over all others for purposes of inclusion on the Referral List.

Should an individual request listing under more than one discipline and one of these is contested, they may be listed under the acceptable discipline.

3. **Reviewing Previous Listing Errors:** Should it come to the attention of a Coordinator that an individual who is listed should not be so listed, the Coordinator will request clarification from the individual within thirty (30) calendar days. If that individual cannot resolve this situation to the satisfaction of the Coordinator, he/she shall be informed that unless they appeal this decision within thirty (30) calendar days of being informed, they shall be removed from the Referral List. They will need to appeal their delisting to OHP, with a copy of the appeal forwarded to the Coordinator. If the Coordinator's review is appealed, the individual or institution shall be retained on the Referral List until written notice is received from the OHP directing the removal of the individual or institution from the list.
4. **List Order:** This list shall be ordered alphabetically by profession or discipline. Those professions which are currently recognized within the Secretary's Guidelines are: Archeology, Prehistoric and Historic; Architectural History; Architecture; Historic Architecture; History.

A consulting firm may have only one listing on the Referral List per profession for which they are qualified. A firm may have all employees who qualify under that profession listed under the firm's name, or under their own names with a mailing address other than the firm's.

An individual may have all professional certifications listed following his or her name if so requested.

5. **Inclusion through Previous Listing:** The first page(s) or portion of a page shall be a listing of all individuals or firms who were listed on the Referral List of this specific Center and who did not wish listing as meeting the Secretary's Standards.
6. **Mandatory Explanation:** The Referral List shall be printed on Information Center letterhead stationery. It shall commence with the following title and statement:

REFERRAL LIST FOR HISTORICAL RESOURCES CONSULTANTS

This is a partial, alphabetically ordered list of individuals, firms, and institutions which meet minimum qualifications to perform identification, evaluation, registration and treatment activities within the profession under which they are listed, in compliance with federal and state environmental laws. It is composed of all individuals who have requested listing by this Information Center and who have satisfactorily documented that they meet the Secretary of the Interior's Standards for that profession. Inclusion on this list is determined solely on this evaluation and not on a review of current work.

The Information Center provides a copy of this list without charge when field inspection is recommended or upon request.

This list has been prepared in accordance with guidelines stipulated by the State. Inclusion on this list does not constitute endorsement or recommendation by the State or the Information Center.

Questions regarding the Referral List may be directed to William Seidel, Staff Archaeologist, or Jan Wooley, Staff Historian, Coordinators of the California Historical Resources Information System, Office of Historic Preservation, at (916) 653-6624.

When requesting Archeological field work be accomplished, it is suggested that reports be written in conformance with "Archeological Resource Management Reports (ARMR): Recommended Contents and Format," **Preservation Planning Bulletin Number 4(a)** or appropriate federal standards. This bulletin may be requested through the Information Center or the Office of Historic Preservation.

PROJECT PROCEDURES

- A. **Review and Acceptance:** Coordinator shall review or acknowledge acceptance of all resource records submitted within thirty (30) calendar days of receipt. If these records cannot be reviewed within thirty (30) calendar days, the acceptance statement shall specify a target date as to when their review shall be accomplished. At no time shall this date exceed six (6) months. Should a record be returned for additional information, this schedule shall re-initialize upon receipt by the Information Center. This review shall be conducted in accordance with the appropriate manual:

DPR 422 Form: If an archeological site is recorded on DPR 422 or a similar form, this form should be evaluated against the "Handbook for Completing an Archeological Site Record, DPR 422A-G, March, 1989".

DPR 523 Form: If the resource is recorded on a DPR 523 form only, this form should be evaluated in accordance with "Instructions For Completing the California Historic Resources Inventory Form, June, 1990".

DPR 523(A-K): If the resource is recorded on DPR 523 (A-K) it should be reviewed in accordance with "Instructions for Recording Historical Resources, March, 1995".

Resource records which do not conform to the criteria shall be returned to the sender for the necessary additional information. A copy of the record should be filed in the Pending File until the additional information is received.

- B. **Incorporation:** Once the record has been determined to meet the criteria, coordinator shall determine if this record is an initial recording or an update of a previously recorded resource.
1. If the record is determined to be an initial recording:
 - a. Coordinator shall assign an official State Primary Number to the resource using the format defined under **Definitions** (above).
 - b. Coordinator shall print the Primary Number on each page of the record in the upper right-hand corner along with the month and year the Primary Number was assigned to that specific record.
 - c. Coordinator shall plot the location and shape of the resource on the appropriate USGS map in the Map File and shall check the UTM's recorded for the resource.
 2. If the record is determined to be an update of a previously recorded resource, Coordinator shall check the Map File for accuracy of the previous plotting.
 - a. If there is agreement between the previously plotted location and the location on the updated record, Coordinator shall file a copy of the updated record with the previous records for this resource.
 - b. If there is disagreement between the previously plotted location and the updated information, Coordinator shall determine which plotting to use. If there is substantial doubt as to the correct plotting, and discussion with the submitter do not resolve that doubt, the Coordinator should assign a new Primary Number to the record, cross-reference the two numbers and treat the record as a new recording.

- c. If the area described on the updated record includes areas previously recorded as two separate resources, Coordinator shall determine if the two previously delineated areas should be combined as a single resource or maintained as separate resources. If the two areas are to be combined, Coordinator shall: assign the most appropriate existing Primary Number to the updated record; leave the existing records, with their numbers, in the Inventory. If the two areas are to be maintained separately, the Coordinator shall copy the updated record and file it with each of the two existing records.
 - d. If the updated record covers a portion of a previous recorded resource, Coordinator shall determine the utility and accuracy of the previous record.
- 3. If the record submitted is a historic property (and is not eligible for a State Trinomial number) the Coordinator shall send a copy of the Record to Jan Wooley, OHP Staff Historian, for review. Retain one copy in the primary file. Add HRI file number when notified by OHP.
- 4. If the resource is an archeological site the Coordinator shall conduct the following steps in addition to the primary file acceptance above.
 - a. Coordinator shall determine if the record meets the requirements under the "Policy Governing the Assignment of Trinomials to Archeological Sites" (see Appendix 3). If the record does not conform to the criteria expressed in this policy, the record shall be maintained in the primary file and the submitter shall be requested to supply the necessary additional information.
 - b. Once the record has been determined to meet the criteria, Coordinator shall determine if this record is an initial recording or an update of an already recorded site.
 - c. Coordinator shall assign a State Trinomial Number as described above under Definitions. The Coordinator shall print the State Trinomial Number on each page of the site record in the upper right-hand corner along with the month and year the State Trinomial Number was assigned to the record.
 - d. If the Site Record is determined to be an update follow procedures 2. a-d listed above substituting "State Trinomial" for "Primary Number."
 - e. Coordinator shall enter new records or update the data in the appropriate file within the computerized data base in accordance with the "Encoding Manual for the California Archeological Site Inventory." This may be done directly off the site record or from an encoding sheet developed from the site record.
- C. **Record Submitter Notification :** Coordinator shall notify the individual who submitted the record as to its official numbers. This may be done in any manner agreeable to both the Coordinator and the submitter. In the absence of any specific agreement, the Coordinator shall send the submitter a letter giving the Primary Number and State Trinomial Number, if any, for each temporary number.
- D. **Record OHP Notification:** Coordinator shall submit a copy of each record which was included in the CHRIS, either as a new entry or as an update of a previous entry, not less than quarterly. If the IC received no records for that period, the IC shall so inform OHP.
- E. **Report Acceptance:** Coordinator shall accept all Historical Resource reports sent to the IC and shall incorporate them into the Report File if they pertain directly or indirectly to the Region. If the report is a survey report, Coordinator shall designate the boundaries of the surveyed area on the appropriate map in the Map File. Coordinator shall incorporate this addition into the Bibliography. If this report

does not pertain directly or indirectly to the Region, Coordinator shall forward it to the appropriate IC. Reference numbers for reports, shall be in the following format: XXX-00000 where "XXX" refers to the initials of the IC's title and "00000" refers to a number given to the report. The left-most position in "00000" may be an arbitrary numerical designator for the county.

- F. **Access to Information:** Coordinator shall provide access to information being managed under this program. Access will be provided only in accordance with the IC Access Policy. Coordinator shall require all individuals who have been granted access to Archeological Site Inventory information to sign an Agreement of Confidentiality. Archeological Site Records and Maps shall be handled only by or in the presence of the Coordinator or staff in accordance with the IC Access Policy. All individuals should receive access to those Historical Resource records which are not known to be sensitive.

G. **Record Searches :**

1. A Record Search is a review of the information which exists in an Information Center regarding Historical Resources. Any recommendation to evolve as a result of this information gathering should be developed by a professional in the appropriate discipline. The Lead Agency for any given project is responsible under current environmental law for the development of final recommendations and actions in response to any information derived from an Information Center.
2. Requests for Record Searches will be responded to in writing within thirty (30) calendar days and in accordance with the Record Search Response Format developed by OHP. All record searches shall include the following categories of information:

a. **Archeological Resources:**

- 1) A listing of archeological resources within or adjacent to the project area as defined by the client.
- 2) Either copies of the site records, if requested by a professional as defined by the Secretary of Interior's Standards or the owner, or summaries of the site records, if requested by a planner, in accordance with the IC Access Policy (See Appendix 6).

b. **Historic Resources:**

- 1) A listing of historic resources within or adjacent to the project area as defined by the client.
- 2) If the IC's inventory is known to be incomplete in this area, the center should make a reasonable effort to refer to a repository which would have additional information.

- c. **Previous Investigations:** A statement concerning previous investigations in or adjacent to, or bearing on, the project area.

- d. **Sources Consulted:** A listing of the sources consulted for this search.

- e. **Recommendations:** Recommendations should not be made to historical resource professionals for those values within their field unless requested.

Appropriate recommendations could include the following points:

- 1) Indicate whether a survey is recommended or not recommended and explain why. This rationale should be based primarily on the possibility of resources existing in the project area.
 - 2) Indicate the type of values which may be expected within the project area and which discipline(s) might be involved in the survey.
 - 3) If a resource is known or reasonably expected to exist within the project area, the appropriate discipline should be indicated for the evaluation of the significance of that resource, potential impacts to it and appropriate measures of protection.
 - 4) If a project is known to have federal involvement, the client should be referred to the OHP for all recommendations concerning evaluation and treatment.
 - 5) If a Record Search reveals known values to a local community (Native American, a minority group, a historical society, etc.), this should be indicated and an appropriate contact person's address should be given, if available.
 - 6) OHP recognizes that these recommendations are a matter of professional judgement and knowledge and are subject to error. Should the Coordinator recommend against a survey, OHP shall hold Coordinator harmless for this judgment.
 - 7) OHP reserves the right to accept or reject these recommendations.
3. Coordinator shall ensure that each non-professional recipient of a record search receives a copy of the latest appropriate Referral Lists. Coordinator shall not recommend for or against specific professionals on these Referral Lists.

H. **Historic Property Evaluation Summaries** - Through the use of the Historic Property Directory and the Archeological Determinations of Eligibility Listings, a Coordinator may respond to a request for the formally determined status ascribed to a property, at least on the state and federal level. These requests will be responded to in writing within thirty (30) calendar days. All summaries shall include a statement regarding the presence or absence of that property within the Historic Property Directory and a copy of the appropriate page of the directory (whether the property is listed or not). If listed, the significance evaluations shall be interpreted in accordance with "How to read Significance Evaluations". If a status appears to be incorrect, inconsistent or unclear, the Coordinator shall request confirmation from OHP. If the IC has a copy of the HRI form or other information concerning the property, a copy of this information should be included. Should the client ask for a determination of eligibility pursuant to federal law, they should be referred to:

I.

Project Review and Compliance Unit
Office of Historic Preservation
P.O. 942896
Sacramento, CA 94296-0001

At no time shall a Coordinator evaluate the significance of a Historical Resource.

FEES

Coordinator shall charge fees for providing information or access in accordance with the INFORMATION CENTER RATE SCHEDULE (as noted following).

- A. An IC may offer assistance to local government at any mutually agreeable fee. Such assistance shall not preclude the necessity of a full record search when appropriate at the standard fee, but may include provisions for incorporation of previous payment.
 - B. Fees may be waived for scholarly or avocational research which is **NOT** being conducted to fulfill responsibilities required under federal, state or local laws. Some of the more apparent laws for which fees may not be waived include National Environmental Policy Act, National Historic Preservation Act, Archeological Resource Protection Act, Native American Grave Protection and Repatriation Act, California Environmental Quality Act, the California Forest Practice Act, local ordinances, and mitigation required for local permitting.
 - C. Fees may be waived for facilitating the goals of non-profit foundations or governmental entities whose trust is the furtherance of historic or environmental preservation. These groups include: the National Trust for Historic Preservation, the Archeological Conservancy, the California Preservation Foundation, the Native American Heritage Commission and the California Office of Historic Preservation.
- All fees shall be collected through the Participant.
 - The INFORMATION CENTER RATE SCHEDULE will be posted at the IC and sent to all regular users of the IC.
 - The Coordinator shall be charged these same fees for service as any other user.
 - Record Handling: All records will be refiled by IC staff only.

HOURS

- A. Coordinator shall establish and maintain regular office hours, for not less than 20 hours per week, 52 weeks per year except in those cases where the Participant closes the facilities for holidays and emergencies.
- B. Hours shall be posted at the IC, provided to all regular users of the IC and sent to OHP.

**CALIFORNIA HISTORICAL RESOURCES INFORMATION SYSTEM
INFORMATION CENTER RATE SCHEDULE
1995**

Coordinator shall charge fees for providing information or access in accordance with the following schedule.

- **Record Search Fee:** \$90 per hour for any portion of the first hour, thereafter \$45 per 1/2 hour. Minimum charge \$90.
- **In-house Use Fee** (for people doing their own searches): \$60 per person per hour for any portion of the first hour and \$30 per person per 1/2 hour thereafter. Minimum charge of \$60 per person.
- **Copying Fee:** \$.15 per page whether IC staff or client copies material.
\$15 per hour + per page fee if IC staff does the copying. Minimum charge \$15.
- **Rapid Return Fee:** an additional 50% of the total cost of the search or copying request. The time period involved in a "Rapid Return" shall be agreed to by the Coordinator and the entity requesting this service.
- **Fax Fee:** \$10 for up to ten pages, \$1 per page thereafter. Minimum charge of \$10.

MISCELLANEOUS

- A. **Publication Credits** - Any publication resulting from the project funded hereunder shall contain the following statement:

"The activity which is the subject of this (type of publication) has been financed in part with Federal funds from the National Park Service, Department of the Interior through the California Office of Historic Preservation. However, the contents and opinions do not necessarily reflect the views or policies of the Department of the Interior or the California Office of Historic Preservation, nor does mention of trade names or commercial products constitute endorsement or recommendation by the Department of the Interior or the California Office of Historic Preservation."

- B. **Meeting Attendance** - The Coordinator shall make a reasonable effort to attend the Information Center workshops.
- C. **Center Expertise** - The Coordinator shall make a reasonable effort to incorporate expertise from other disciplines into Center operations.

EXCLUSIONARY ACTIVITIES

- A. Coordinator shall not solicit business for a specific professional or consulting firm.
- B. The Coordinator's staff who prepare or sign correspondence recommending specific survey work shall not be paid to perform the recommended survey work.
- C. The Coordinator and staff, as a function of the IC, may not review the content quality of surveys, significance evaluations, testing or excavation reports within the Region. Reports may be reviewed in accordance with the *Archeological Resource Management Reports (ARMR): Recommended Contents and Format*.
- D. Coordinator may use the title and letterhead of the IC only with the written authorization of the OHP.

Appendix 1

COUNTY NUMBERS AND TRINOMIAL ABBREVIATIONS

01 ALA ALAMEDA	30 ORA ORANGE
02 ALP ALPINE	31 PLA PLACER
03 AMA AMADOR	32 PLU PLUMAS
04 BUT BUTTE	33 RIV RIVERSIDE
05 CAL CALAVERAS	34 SAC SACRAMENTO
06 COL COLUSA	35 SBN SAN BENITO
07 CCO CONTRA COSTA	36 SBR SAN BERNARDINO
08 DNO DEL NORTE	37 SDI SAN DIEGO
09 ELD EL DORADO	38 SFR SAN FRANCISCO
10 FRE FRESNO	39 SJO SAN JOAQUIN
11 GLE GLENN	40 SLO SAN LUIS OBISPO
12 HUM HUMBOLDT	41 SMA SAN MATEO
13 IMP IMPERIAL	42 SBA SANTA BARBARA
14 INY INYO	43 SCL SANTA CLARA
15 KER KERN	44 SCR SANTA CRUZ
16 KIN KINGS	45 SHA SHASTA
17 LAK LAKE	46 SIE SIERRA
18 LAS LASSEN	47 SIS SISKIYOU
19 LAN LOS ANGELES	48 SOL SOLANO
20 MAD MADERA	49 SON SONOMA
21 MRN MARIN	50 STA STANISLAUS
22 MRP MARIPOSA	51 SUT SUTTER
23 MEN MENDOCINO	52 TEH TEHAMA
24 MER MERCED	53 TRI TRINITY
25 MOD MODOC	54 TUL TULARE
26 MNO MONO	55 TUO TUOLUMNE
27 MNT MONTEREY	56 VEN VENTURA
28 NAP NAPA	57 YOL YOLO
29 NEV NEVADA	58 YUB YUBA

Appendix 2

NUMBERING CONVENTIONS

Historical Resources

PROGRAM -----	KEY to NUMBER -----
California Reg. Historical Landmarks	SHL-####-xx "####" = State Historic Landmark Number "xx" = satellite designator
California Point of Historical Interest	SPHI-CCC-###-xx "CCC" = County Initials "###" = Seq.Num in County "xx" = satellite designator
Determinations of Eligibility	DOE-CC-YY-####-xxx "CC" = County Number "YY" = year of determination "####" = Sequential Number "xxx" = contributor
Listed on the National Register	NPS-#####-xxxx "#####" = NPS's NR Number "xxxx" = contributor#

Transaction Logs

PROGRAM -----	KEY to NUMBER -----
Project Review (EIRLOG)	AAAA#####a "AAAA" = 3 or 4-letter abbreviation of the Federal Agency "#####" = YYMMDD, year, month, day "a" = Sequential lettering of daily receipt from an Agency
Tax Certification (TAXLOG)	537.9-CC-#### "CC" = County number "####" = Sequential Number
State Funded Projects (ST.FND.PRG)	619.0-SS-YY-CC-### "SS" = State Funding Source "YY" = year of determination "####" = Sequential Number

Federally Funded Projects (FED.FND.PRJ) 629.0-YY-PPP-CC-### or
629.0-PPP-YY-CC-###
"PPP" = Federal Funding Source
"YY" = year of determination
"CC" = County Number
"####" = Sequential Number

Registration Programs (REGLOG) CC-####
"CC" = County Number
"####" = Sequential Number

Appendix 3

ASSIGNMENT OF TRINOMIALS TO ARCHEOLOGICAL SITES

- I. The Information Center shall assign an official State trinomial number to a site record if:
 - A. The Site Record is a clean, type-written, reproducible copy of the State Archeological Site Record (DPR 422A - I rev.), or other form of equal or greater detail (such as the DPR523(A-K) with the Archeological Site Form (C) or the Linear Form (E) completed and attached);
 - B. The recorded site appears to meet the minimal definition of an archeological site as specified in the "Handbook for Completing an Archeological Site Record (HCASR)";
 - C. A site map including scale, north arrow, datum point(s), boundaries, and archeological manifestations, accompanies the record;
 - D. The site location is plotted to scale on a copy of the pertinent USGS 7.5' quadrangle; and
 - E. The Archeological Site Record is complete.
- II. The HCASR or "Instruction for Recording Historical Resources" shall serve as the standard by which the completeness and adequacy of the Archeological Site Record is evaluated.
- III. In the event of internal discrepancies in locational data (e.g., USGS map plot vs. UTM coordinates), or other significant discrepancies, the Coordinator shall return the Site Record to the submitter for correction or clarification. Information Center personnel shall not revise Archeological Site Records except in cases where the changes are substantiated.
- IV. Information Centers shall not accept or reject Archeological Site Records, or assign or withhold trinomials, on the basis of a site's adjudged significance. Significance is not a criterion for site documentation or information management.

Appendix 4

PROFESSIONAL QUALIFICATIONS STANDARDS

Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines

Quoted from: Federal Register, Thursday, September 29, 1983, Part IV, Department of the Interior, National Park Service, Archeology and Historic Preservation: Secretary of the Interior's Standards and Guidelines (Vol.48, No.190:44738-44739).

The following requirements are those used by the National Park Service, and have been previously published in the Code of Federal Regulations, 36 CFR Part 61. The qualifications define minimum education and experience required to perform identification, evaluation, registration, and treatment activities. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the task and the nature of the historic properties involved. In the following definitions, a year of full-time professional experience need not consist of a continuous year of fulltime (sic) work but may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

History

The minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historic organization or agency, museum, or other professional institution; or
2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

Archeology

The minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus:

1. At least one year of full-time professional experience or equivalent specialized training in archeological research, administration or management;
2. At least four months of supervised field and analytic experience in general North American archeology; and
3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in prehistoric archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the prehistoric period. A professional in historic

archeology shall have at least one year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

Architectural History

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation or closely related field, with coursework (sic) in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historic organization or agency, museum, or other professional institution; or
2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

Architecture

The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time experience in architecture; or a State license to practice architecture.

Historic Architecture

The minimum professional qualifications historic in architecture [in historic architecture] are a professional degree in architecture or a State license to practice architecture, plus one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field; or
2. At least one year of full-time professional experience on historic preservation projects.

Such graduate study or experience shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

PROFESSIONAL QUALIFICATIONS STANDARDS (CONT.)

California State Personnel Board Specification State Historian Series Specification (Established June 7, 1972)

Excerpt

State Historian II

Definition of Level -

This is the full journey level class. Under direction, incumbents perform the more difficult or varied work in performing basic historical research and cultural resource management activities; may act in a lead capacity; may train and direct subordinates staff; may train other personnel (including personnel in other State, Federal and local agencies) in historical research methods and cultural resource management techniques; may select and evaluate the performance of grant projects; may budget, administer, and expend Federal and State funds; and do other related work.

Minimum Qualifications -

Equivalent to graduation from college with major course work in history, historic sites research, cultural resources management, architectural history, or a closely related field in which historical methods and techniques are employed. (Additional qualifying experience may be substituted for the required education on a year-for-year basis for up to two years.)

and either

Three years of experience in research, cultural resources management, or museum work in connection with historical reports, projects, buildings, or museums.

or

Three years of experience in the teaching of California history at the high school or college level.

(Graduate work in history, historical sites research, cultural resources management, architectural history or a closely related field, in which historical methods and techniques are employed, may be substituted for not more than one year of the required experience on a year-for-year basis.)

Associate State Archeologist

Definition of Level -

This is the full journey level. Under general direction, incumbents perform the more difficult or varied work of archeological investigation and cultural resource management; incumbents direct and coordinate major archeological excavation projects; provide research data and advice; prepare and submit project budget requests; prepare scientific publications; may act in a lead capacity; may train departmental staff as well as other personnel (including personnel in other State, Federal and local agencies) in archeological methods and cultural resource management techniques; may budget and administer Federal and State funds; represent the Department in cultural

resource matters at meetings with governmental entities, educational institutions, and other groups; and do other related work.

Minimum Qualifications -

Equivalent to graduation from college with major course work in archeology or anthropology. (A graduate degree in archeology or anthropology, may be substituted for up to one year of the required general experience and one year of required experience equivalent to Range B.)

and either

Three years of increasingly responsible professional experience in research, writing, or project supervision in archeological investigation or cultural resource management and protection programs.

or

Three years of experience in the teaching of California history at the high school or college level.

Appendix 5

REFERRAL LIST REQUEST FORMS

For archeology, history, architectural history, historic architecture, and architecture.

REFERRAL LIST REQUEST FORM

ARCHEOLOGY

Name _____

Address _____

Degree _____ Department _____

Thesis Topic _____

Date _____ Institution _____

Minimum professional qualifications in archeology are a graduate degree in archeology, anthropology, or closely related field plus:

1. At least one year of full-time professional experience or equivalent specialized training in archeological research, administration or management:

Experience: _____ Dates _____ Duration
(weeks/months)

Total: _____
(at least 1 year)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

2. At least four months of supervised field and analytical experience in general North American archeology:

Experience: _____ Dates _____ Duration
(weeks/months)

Total: _____
(at least 4 months)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

3. Demonstrated ability to carry research to completion:

In addition to these minimum qualifications:

A professional in prehistoric archeology shall have at least one year of full-time professional experience at supervisory level in the study of archeological resources of the prehistoric period:

Experience: _____ Dates _____ Duration _____
(weeks/months)

Total: _____
(at least 1 year)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

A professional in historic archeology shall have at least one year of full-time professional experience at supervisory level in the study of archeological resources of the historic period:

Experience: _____ Dates _____ Duration _____
(weeks/months)

Total: _____
(at least 4 months)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

REFERRAL LIST REQUEST FORM

HISTORY

Name_____

Address_____

Degree_____Department_____

Thesis Topic _____

Date_____ Institution_____

Minimum professional qualifications in history are a graduate degree in history or closely related field; or a bachelor's degree in history or closely related field plus one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historic organization or agency, museum, or other professional institution; or

Experience: _____ Dates _____ Duration
(weeks/months)

Total: _____
(at least 2 years)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

Citation: _____

REFERRAL LIST REQUEST FORM

ARCHITECTURAL HISTORY

Name _____

Address _____

Degree _____ Department _____

Thesis Topic _____

Date _____ Institution _____

Minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation or closely related field, with coursework in American architectural history; or a bachelor's degree in architectural history, art history, historic preservation or closely related field, plus one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historic organization or agency, museum, or other professional institution; or

Experience: _____ Dates _____ Duration
(weeks/months)

Total: _____
(at least 2 years)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

2. Substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

Citation: _____

REFERRAL LIST REQUEST FORM

ARCHITECTURE

Name: _____

Address: _____

California Architectural License # _____

Minimum professional qualifications in architecture (in the State of California) is a State License to practice architecture.

REFERRAL LIST REQUEST FORM

HISTORIC ARCHITECTURE

Name: _____

Address: _____

California Architectural License # _____

Minimum professional qualifications in architecture (in the State of California) is a State License to practice architecture. Minimum professional qualifications in Historic Architecture also include one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or closely related field:

Degree: _____ Department _____

Thesis Topic _____

Date _____ Institution _____

2. or, at least one year of full-time professional experience on historic preservation projects:

Experience: _____ Dates _____ Duration
(weeks/months)

Total: _____
(at least 4 months)

Reference/s (Professor/Supervisor): Name, Institution and Phone:

Appendix 6

RECORD MANAGEMENT AND ACCESS POLICY HISTORICAL RESOURCES RECORDS

- I. All archeological site information, including reports with specific site locations, may be treated as confidential information. However, since many non-sensitive properties (such as rock walls, ditches, Victorian buildings, etc.) have been recorded on archeological site records, a review of the individual site record should be accomplished to determine whether this property's location and information should be withheld in any given circumstance. See Paragraph "XI" below.
- II. All records and maps shall be handled only by or in the presence of the Coordinator or Information Center staff.
- III. The following individuals are qualified to receive copies of the Archeological Site Records, reports and sketch maps:
 - A. Professionals as described in the Secretary of the Interior's Standards and who meet either these standards or those of the California State Personnel Board for Associate State Archaeologist or the State Historian II. The Information Center shall require and retain a copy of these individuals' curricula vita.
 - B. Students and avocational associations who are conducting scientific research and who are working under the supervision of a professional who meets either the standards specified by the Secretary of the Interior or those of the California State Personnel Board for Associate State Archaeologist or State Historian I
 - C. Owners of identified archeological sites. The Information Center shall require documentation of ownership but need not keep it on file.
 - D. Direct access to the records shall be limited to professional archaeologists and archeological students. Access shall be the decision of the Coordinator. Direct access to the records shall be determined according to cause as stated in Part VIII below.
- IV. The following individuals are qualified to receive a summary of the Archeological Site Record and general locational information and survey reports. Said summary may consist of the site number, the "attributes" listed on the encoding form or the description listed on the site record, the date(s) of the record and the recorder(s). The specificity of locational information will be determined by need.
 - A. Planners employed by government agencies or private firms or individuals in the process of preliminary project planning. The Information Center shall require and retain for a period of three years a letter specifying the nature of the specific project and the area of that project. Requests for record searches of more than one mile from the project area must be fully documented according to need.
 - B. Local Native Americans who have concerns about the physical remains of their heritage.
- V. All individuals may receive copies of Historical Resource records which are not known to be sensitive. Sensitivity may be the result of archeological values being associated with the resource in a manner which can not be protected (i.e. rural resources in a state of decay or simply uninhabited), value to a community group which would be harmed by public knowledge, or any other situation

which would indicate that public knowledge would lead to the harm or destruction of the values which imbue the resource with significance.

- VI. The Information Center shall maintain current lists and vita, if appropriate, of individuals who are allowed direct access to Historical Resource Records.
- VII. To protect California's archeological resources, those receiving the Archeological Site Record data must sign an "Agreement of Confidentiality" form. The distribution of specific site location information in public documents within their institution or agency without prior written consent of the Coordinator or State Historic Preservation Officer is a violation of this Agreement.
- VIII. The Coordinator has the authority to deny access to archeological site record data for cause. The following reasons may constitute grounds for such a denial:
 - A. Lack of proof of proper qualifications.
 - B. Inadequate justification to receive such data (i.e., scientific research or specific project planning is not involved).
 - C. Previous abuse of confidentiality of records.
 - D. Failure to provide the Information Center with written reports and complete site records resulting from previous field reconnaissance and investigations.
 - E. Demonstrable need on the part of the Information Center to ensure efficient and appropriate use of the records or to avoid recurring misuse of the records.
 - F. Refusal to sign an Agreement of Confidentiality form specifying the terms under which the information is to be given.
 - G. Refusal to pay for services received after two billings and at least 60 calendar days.
- IX. The Coordinator will forward to the State Historic Preservation Officer, no later than ten (10) calendar days after an individual is refused the site record data, the name and affiliation of the individual, and the reasons for the action. A copy of this correspondence shall be sent to the individual denied access. The Coordinator shall also refer the refused individual to the State Historic Preservation Officer for consideration of further access.
- X. Access to information maintained by the Information Center may be directed by a Memorandum of Agreement (MOA) between the OHP and a specific agency. This agency may be a local, state or federal governmental entity. Such a MOA shall supercede this policy. The appropriate Information Center(s) shall be given an opportunity to comment on such an agreement prior to its finalization.
- XI. The staff of the Native American Heritage Commission shall be given access to such records as they deem necessary for the conduct of their business.
- XII. MEASURES OF SENSITIVITY: Some historic resource and archeological site locations should be treated as confidential in order to protect the resources from potential damage or removal. Destruction could result from looting an archeological deposit, vandalism to remote historic structure, or disrespectful behavior at a traditional or spiritual site, for example. Locations of other resources, both historic and archeological, with little potential for damage through public awareness, should not be treated as confidential. The need for the confidentiality of the location of a resource should be determined by the Coordinator based upon a reasonable assessment of potential for damage to the particular resource in question.

Appendix 7

AGREEMENT OF CONFIDENTIALITY

I, the undersigned, have been granted access to Historical Property information at the ____ (NAME) ____ Information Center of the California Historical Resources Information system for the purpose of:

____ Scientific Research
____ Project Planning Review
____ Other (specify): _____

Site Record(s) consulted: _____
Site Record(s) copied: _____
USGS QUAD(s) consulted: _____
County(ies): _____
Title of Project or Research: _____
Contact person/agency for which work conducted: _____

Address: _____
Phone: _____

- ☐ I have received information which must remain out of the public domain, except in those circumstances which may be required by law. I fully understand the confidential nature of this information and I agree to respect that confidentiality.
- ☐ I will attempt to ensure that specific site locations are not distributed in public documents or made available to unauthorized individuals within my institution or agency. I also understand that prior written consent of the Information Center Coordinator or the State Historic Preservation Officer is required for any exceptions to the above stipulations.
- ☐ I have not received any information which should not be freely disclosed and disseminated.
- ☐ I agree to forward to the appropriate Information Center, no later than 30 days after completion of a final report on this investigation and complete site records for any sites that are identified or dealt with. I also agree to forward to the appropriate Information Center or Centers any subsequent reports on these sites for which I am responsible and which are pertinent to the management of these resources.
- ☐ I understand that failure to comply with any aspect of this agreement is grounds for denial of subsequent access to the historical resources information.

Signature of Researcher

Date

Printed name: _____
Agency or Company: _____
Address: _____
Phone: _____

Appendix 8

RECORD SEARCH RESPONSE FORMAT

Date

Person Requesting the Information; Address; City, State Zip

RE: [Name of Project, include any project numbers e.g. FERC #]

Dear _____:

In response to your request of [date], a record search for the above cited project located on [USGS 7.5' name; Township, Range, Section] was conducted by examining: [list those sources consulted].

RESULTS:

PREHISTORIC RESOURCES: [Indicate if there are any sites, list them and how close they are to the project]. Records or Summaries are attached.

HISTORIC RESOURCES: [Same information as above for historic sites. If the center does not maintain this type of information, so indicate.] Records are attached.

CULTURAL VALUES: [Indicate if there are resources known to have value to local cultural groups, what those values are and the name and address of a contact person with that group.].

PREVIOUS INVESTIGATION(S): [Has there been a survey of the property in question? Has there been a survey in the immediate area? Has there been an overview or any other studies conducted? What values may have been missed in previous studies?]

LITERATURE SEARCH: [List any other sources consulted that are not referenced above.]

RECOMMENDATIONS: [Indicate if a survey or further study is recommended, why it is recommended and the appropriate disciplines to conduct that further study. Do not offer "clearance". Do not use the word "significant" when referring to any cultural resource unless it has been included in or determined eligible for inclusion in the National Register of Historic Places.] If this project is known to have Federal involvement refer the client to the OHP (See Recommendations, pg. 16).

As indicated on the attached form, the cost for this record search is [\$]. Payment instructions are included on the bottom of the form. Please sign where indicated and return the top copy with your payment. In accordance with State law, if any cultural resources are found during construction, work is to stop and the lead agency and a qualified professional archaeologist be consulted to determine the importance and appropriate treatment of the find.

Sincerely,

Name Position

Attachments - [As above and Agreement of Confidentiality, if not in hand]